

# Operationalizing AWS Compliance through Automation for Financial Services Institutions



## Design Technical Control to Align to Governance and Compliance Requirements

Financial Services institutions are highly regulated and have strict requirements which can require regular internal or external audits to ensure compliance (e.g., NYDFS, PCI, FINRA, NIST, etc.). For an institution to run a regulated workload on AWS, they will have to go through a compliance and governance evaluation to determine what policies and controls must be put in place to run the workload on AWS and still meet compliance requirements. The number of compliance frameworks that exist with the intention of simplifying an organization's efforts of becoming and staying compliant is seemingly endless (e.g., CSA CCM, ISO/IEC 27001, etc.), but they all tend to fall short in tactical implementation. The requirement may be clear but the implementation of the control and providing validation of the requirement being met is difficult. Vertical Relevance's takes a multi-step process combining financial services industry expertise and the use of compliance frameworks (e.g., CSA CCM, ISO/IEC 27001, etc.), AWS frameworks, and Vertical Relevance's compliance control library to deliver the technical control design and implementation that meets those needs.



## Simply Technology Audits with Automation

The ever-increasing number of resources within a company's AWS organization makes auditing an untenable task without some form of automation. With the introduction of AWS Audit Manager, this has been drastically simplified. Through the utilization of custom audits that can be created with Audit Manager, an organization can be empowered for the first time with automatic collection of evidence to prove that their infrastructure and workload are compliant. The artifacts from these continually running audits of AWS infrastructure can be exported at any time in a format that is accepted by internal and external auditors.

## Features



### Improved Accuracy

False positives of non-compliant configurations have plagued compliance and audits stakeholders since the inception of IT audits. Outdated queries, proprietary tooling, and overall lack of transparency around the different software platforms being used has led to inaccurate and inconsistent reporting around the actual state of compliance of a workload. With the advent of tools like AWS Audit Manager this has become a trouble of the past.



### Faster Detection

Given AWS's advanced event driven technology where all changes to resources within an environment trigger an event, it is easier than ever to create detective controls for different components of a workload that go from being compliant to out of compliance. When such event occurs, depending on the severity and remediation mechanisms in place, critical stakeholders on both the security and compliance team can be notified to remediate as needed.



### Automatic Remediation

Detecting non-compliant resources and configurations is one thing, automatically remediating them is another. When working with organizations we work both the compliance and security stakeholders to build out the necessary preventative, detective, and reactive controls to swiftly and seamlessly address noncompliance of resources as soon as it occurs.

## Vertical Relevance on AWS

AWS provides scalable, resilient and secure services that enable customers to build efficient solutions to meet their market needs. Vertical Relevance brings significant Financial Services and AWS technology experience to evaluate current and targeted capabilities against business goals and identify solution architectures and management processes to achieve those business goals. We partner with our customers to evaluate, prioritize and execute on programs to evolve their existing applications into cloud native solutions that are secure, reliable, perform efficiently and are optimized for cost, while managed using best practices.

## Simplify Compliance in AWS once and for all

Compliance in AWS doesn't have to be difficult. With the proper planning, requirement gathering, and above all implementation of automated mechanism to achieve compliance, time spend being reactive to compliance can be minimized.



### Increased Resources for Business

Compliance stakeholders can operate in proactive manners as opposed to reactive.



### Decreased Financial Fines / Penalties

Reduced the potential of noncompliance in an organization by leveraging automated tools like an audit manager.



### Linkage of Security & Compliance Events

By leveraging AWS services for both their compliance and security tooling, the linkage between the two domains can be achieved to better identify risks to an organization and to remediate them.



### Reduced Evidence Collection Times

Simplified process of collecting, maintaining, and presenting all evidence in an auditor friendly format through automation.

## Industry Leading Compliance Platform for Financial Services



### Reduced Risk

Organizations don't realize they're out of compliance before it's too late, but by taking a technology-driven approach to compliance that can be greatly reduced. An automated system enables the organization to have a real-time view into their state of compliance across the enterprise.



### Greater Development Velocity

Compliance solutions designed to not impede developers or development. With the growing demand on traditional financial services companies to modernize, we understand the importance of delivering solutions that promote the acceleration of development, not interfere with it.



### Scalable Across Accounts

Optimized to scale across entire organization. Compliance and necessary controls are built into the account vending process but can also be retroactively applied via self-service mechanisms.

## Get started with Vertical Relevance solutions on AWS

If you are looking to provide automation, consistency, predictability, and visibility to your software release process [contact us today](#).